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FISH & RICHARDSON P.C.
P.O. Box 1022
Minneapolis, MN 55440-1022

Michelle Sympson (Depositor's name)
Michelle Sympson (Signature)
06/22/2006 (Date)

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 10/772,218 | 02/03/2004 | Anatoliy Savchenkov | 06618-928001 | 7201 |

TITLE OF INVENTION: TUNABLE OPTICAL FILTERS HAVING ELECTRO-OPTIC WHISPERING-GALLERY-MODE RESONATORS

| APPL. TYPE | SMALL ENTITY | ISSUE FEE | PUBLICATION FEE | TOTAL FEES DUE | DATE DUE |
|----------------|--------------|-----------|-----------------|----------------|------------|
| nonprovisional | YES | \$700 | \$300 | \$1000 | 06/30/2006 |

| EXAMINER | ART UNIT | CLASS. SUBCLASS | 06/26/2006 TBESHAH2 00000005 061050 18772218 |
|--------------|----------|-----------------|----------------------------------------------|
| LEE, JOHN D. | 2874 | 385-015000 | |

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).
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☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page (37 CFR 1.5104) names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1. Fish & Richardson P.C.
 2.
 3.

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE (CITY and STATE OR COUNTRY)

California Institute of Technology

Pasadena, CA

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ individual ☒ corporation or other private group entity ☐ government

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☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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(Authorized Signature)

Scott C. Harris
 BING AI

(Date)

June 22, 2006

Typed or Printed Name

Scott C. Harris

Registration No. 32,030

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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